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UNITED STATES DISTRICT COURT  
FOR THE NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION

ELVIA CURIEL-RUTH, on behalf of herself )  
and all others similarly situated )

Plaintiff, )

v. )

ROBINHOOD FINANCIAL LLC; )  
ROBINHOOD SECURITIES LLC; )  
ROBINHOOD MARKETS, INC; THE )  
CHARLES SCHWAB & CO. INC.; )  
CHARLES SCHWAB CORPORATION; TD )  
AMERITRADE, INC.; WEBULL )  
FINANCIAL LLC; E\*TRADE FINANCIAL )  
CORPORATION; INTERACTIVE )  
BROKERS, LLC; CITADEL ENTERPRISE )  
AMERICAS, LLC; MELVIN CAPITAL )  
MANAGEMENT LP, )

Defendants. )

Case No. 4:21-cv-00829-HSG

**DEFENDANT E\*TRADE FINANCIAL  
CORPORATION'S  
L.R. 3-15 CERTIFICATION OF  
INTERESTED ENTITIES OR PERSONS**

1 Pursuant to Civil L.R. 3-15, the undersigned certifies that as of this date the following listed  
2 persons, associations of persons, firms, partnerships, corporations (including parent corporations)  
3 or other entities (i) have a financial interest in the subject matter in controversy or in a party to the  
4 proceeding, or (ii) have a non-financial interest in that subject matter or in a party that could be  
5 substantially affected by the outcome of this proceeding:

- 6 1. E\*TRADE Financial Corporation
- 7 2. E\*TRADE Financial, LLC
- 8 3. E\*TRADE Financial Holdings, LLC
- 9 4. Morgan Stanley Domestic Holdings, Inc.
- 10 5. Morgan Stanley Capital Management, LLC
- 11 6. Morgan Stanley
- 12 7. Mitsubishi UFJ Financial Group, Inc.

1 Dated: March 1, 2021

DAVIS POLK & WARDWELL LLP

2  
3 By: /s/ Neal A. Potischman

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15 *Corporation*